**RCA & CAP** **Step 1**- Cause and Effect Diagram



List the two most likely root causes below:

1. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_
2. \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_

**RCA & CAP** **Step 2**- The 5 WHY Method

|  |  |
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| **State the first likely root cause** |  |
| **1. Why did that condition exist?** | **Because…** |
| **2. Why?** | **Because…** |
| **3. Why?** | **Because…** |
| **4. Why?** | **Because…** |
| **5. Why?** | **Because…** |

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| --- | --- |
| **State the second likely root cause** |  |
| **1. Why did that condition exist?** | **Because…** |
| **2. Why?** | **Because…** |
| **3. Why?** | **Because…** |
| **4. Why?** | **Because…** |
| **5. Why?** | **Because…** |

#### RCA & CAP Step 3- Corrective Action Plan

**A SEPARATE ROOT CAUSE ANALYSIS AND CAP IS REQUIRED FOR EACH NON-CONFORMITY.**

**Instructions**: Scan and e-mail the Root Cause Analysis (RCA Steps 1 & 2) worksheets and this form to [dpa@tdi-bi.com](mailto:dpa@tdi-bi.com) when complete (within 30 days of NC identification). Attach the Root Cause Investigation worksheets to this form and file on the bridge. Include other relevant documents as attachments to the CAR in NS5.

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| **Vessel/ Facility** | **CAP to be submitted to DPA by: (DATE)** | | **Date CAP actually submitted DPA** | **Date approved by DPA** | | **Name of Master responsible for implementation** |
|  |  | |  |  | |  |
| The non-conformity (NC) was identified through: \_\_\_ Internal Audit \_\_\_ External Audit \_\_\_ Incident \_\_\_\_\_\_ Other  The CAR # in NS5 is: \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ (include preceding zeros) | | | | | | |
| Date NC was identified: | | **Implementation due date:** | | | Name of Person Completing this form (Print): | |
|  | |  | | |

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| **Step 1: Briefly state the non-conformity** |
| Briefly state the non-conformity; what did we not do that we were supposed to do? |
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| **Step 2: Root Cause** |
| Based on the root cause analysis, what was the main root cause for the non-conformity? |
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| **Step 3: Plan to prevent recurrence** | | |
| Based on the root cause stated in Step 2, what steps need to be taken in order to prevent the non-conformity from happening again? List those steps in detail below with expected completion dates and persons responsible. | | |
| Steps to prevent recurrence | Due date | Person Responsible |
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| **Step 4: Signatures of CAP development team** | |
| Please print entire name clearly | Signatures |
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